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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**Sheet **1** of **8**

Application Number	<b>10/518823</b>
Filing Date	
First Named Inventor	Kongtcheu, Phil
Art Unit	3624
Examiner Name	Wasylichak, Steven
Attorney Docket Number	

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 4,642,768 B1	02/10/1987	Roberts	
		US- 4,903,201 B1	02/20/1990	Wagner	
		US- 5,029,119 B1	07/02/1991	Konno	
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		Country Code <sup>3</sup> "Number" <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		PCT/USOO/25292 A1	09/14/2000	KURUC		
		PCT/FROO/01059 A3	11/02/2000	BILLIOTTE		

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	1	ALEXANDER, C. The handbook of Risk Management and Analysis ; J. Wiley 1996	
	2	ANDERSEN, L. ANDREASEN, J. and ELIEZER, D. Static replication of Barrier Options: Some General Results; Working Paper Feb 2000	
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	6	BERTSIMAS, D. KOGAN, L. and LO, A. Hedging Derivatives Securities and Incomplete Markets: An epsilon-arbitrage approach. ; NBER Working Paper, 1997	
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	11	BUCHEN, P. and KELLY, M. The Maximum Entropy Distribution of an asset inferred from Options Pricers ; Journal of Financial and Quantitative Analysis Vol 31 no 1, March 1996.	
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	15	CFTC, Bill H. R. 5660 Commodity Futures Modernization act of 2000 ; available at http ://WWW. CFTC. gov/cftc/cftclawreg. htm	
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	20	DEBREU, G. 1959. Theory of Value: an axiomatic analysis of economic equilibrium. ; Wiley, New York.	

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	21	DERMAN, E. KANI, I. KAMAL, M. Trading and hedging local volatility ; The Journal of Financial Engineering V6. No 3 pp233-268	
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	28	FINANCIAL ACCOUNTING STANDARDS BOARD Statement No. 133 Accounting for Derivative Instruments and Hedging Activities	
	29	FINANCIAL ACCOUNTING STANDARDS BOARD Statement No. 137 accounting for Derivative Instruments and Hedging Activities - Deferral of the Effective Date of FASB Statement No. 133;	
	30	FINANCIAL ACCOUNTING STANDARDS BOARD Statement No. 138 Accounting for Certain Derivative Instruments and Certain Hedging Activities. An amendment of FASB Statement No. 133 k	

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	41	HYER, T. LIPTON-LIFSCHITZ, T and PUGACHEVSKY, D Passport to success; (Sept 1997), Risk 10., No 9., PPL27-31	
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